UNITED STATES DISTRICT COURT EASTERN DISTRICT OF WISCONSIN

UNITED STATES SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, : Case No. 11-CV-755

v. : Hon. Charles N. Clevert, Jr.

STIFEL, NICOLAUS & COMPANY, INCORPORATED and DAVID W. NOACK,

Defendants.

STIFEL, NICOLAUS & COMPANY, INCORPORATED'S MOTION TO COMPEL PLAINTIFF TO IDENTIFY SPECIFIC BATES RANGES

AND PRODUCE DOCUMENTS RESPONSIVE TO STIFEL'S

FIRST REQUESTS FOR PRODUCTION

Pursuant to Rules 26, 34, and 37 of the Federal Rules of Civil Procedure and

Civil L. R. 37, Defendant Stifel, Nicolaus & Company, Incorporated ("Stifel") moves to

compel Plaintiff the United States Securities and Exchange Commission ("SEC") to identify specific Bates ranges and produce documents responsive to Stifel's First Requests for Production. In support of this motion, Stifel directs the Court to its

contemporaneously filed Memorandum of Law and supporting Declaration of Richard H.

Kuhlman.

Stifel respectfully requests that the Court enter an order compelling the SEC to identify specific Bates ranges and produce documents as set forth in its Memorandum

of Law in Support, and grant Stifel such other relief as it deems just and proper.

Dated: January 28, 2014

By: s/ Richard H. Kuhlman

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Counsel for Defendant Stifel, Nicolaus & Company, Incorporated

CERTIFICATE OF SERVICE

The undersigned hereby certifies that a true and correct copy of the foregoing was filed using the Court's CM/ECF Filing System on all counsel of record.

_/s/ Richard H. Kuhlman Richard H. Kuhlman